



U.S. Department of Education

Title V, Developing Hispanic-Serving Institutions Program

Interim Performance Report for Title V Grantees

**Ed Form IPR-S2
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Interim Performance Report for Title V Grantees

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Introduction Letter

March 29, 2002

Dear Title V Project Director:

I hope that your grant activities are going well. I am writing to inform you that your institution's first performance report of the fiscal year (FY) is due shortly for your development grant under the Developing Hispanic-Serving Institutions (HSI) Program, authorized by Title V of the Higher Education Act (HEA) of 1965, as amended.

Beginning this year we are implementing a new Performance Measurement System wherein the single Grant Performance Report (which was used in previous years) will be replaced by two reports. The first component is an Interim Performance Report (IPR), which concentrates on grant management and will provide us with a brief, yet substantive, evaluation of your mid-year progress.

The second component is the Annual Performance Report (APR), which will be due after the end of the fiscal year. The annual report will focus on the outcome of your project objectives and the Government Performance and Results Act (GPRA) indicators. Coupled together, the IPR and APR will more effectively demonstrate the accomplishments of the Title V program, and enable us to work with you to address any challenges that may arise.

In the IPR you are required to include information that demonstrates your institution's substantial progress toward meeting the objectives of the activities in your project. Since we are only halfway through the fiscal year, you will be only reporting on your progress from October 1, 2001 through March 31, 2002. The substantial progress requirement is cited in section 75.253(2)(i) of the Education Department General Administrative Regulations (EDGAR). Notification of non-competitive continuation awards will be made by July 31, 2002.

Since this is a transition year as we move to the new reporting schedule, there is a six-month period between the end of your last performance report and the beginning of this IPR, in which no information was reported. With this in mind, as you respond to question #6 of the IPR, (which asks about your activity objectives) **please share the results of any objectives that have not been reported on since your last performance report.** Throughout the remainder of the IPR questionnaire and the budget section, please use the 6-month reporting period identified in the IPR instructions.

In addition to inviting your first interim performance report, I am pleased to extend to you the opportunity to increase your FY 2003 (October 1, 2002—September 30, 2003) funding by a maximum of \$50,000 over the amount identified on your most recent grant award notification. We anticipate that this additional amount will be available for each of the remaining out-years of your grant. However, please understand this increase is contingent upon the appropriation levels for



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the Title V program. To qualify for the additional funding for FY 2003, we ask you to submit a justification and a brief explanation of how you intend to use these additional funds.

You will be pleased to know that the U.S. Department of Education Five-Year Strategic Plan (<http://www.ed.gov/pubs/stratplan2002-07/index.html>) specifically addresses the strengthening of HSIs and other minority-serving institutions. We encourage you to align your request for additional funding with two of the strategies stated in Objective 5.4 of the Plan: promoting Information Technology (IT) and strengthening institutional evaluation.

Thus, one purpose of the funding increase is to enable you to continue to address the technology gap or “digital divide” that exists between many HSIs and mainstream institutions. Considering that so many of our grantees have a substantial technology component to their funded activities, we believe that this infusion of additional funds will bolster existing efforts to maximize the effectiveness of IT at HSIs. The second area we are recommending is the assessment and evaluation component of your project management plan. You will recall that at our recent project directors’ meeting, we discussed the need to strengthen the institutional research capacity of many HSIs, in order to better document their accomplishments, specifically with regard to retention and graduation. You may use all or a portion of these funds to expand your capacity to collect and analyze data pertinent to your grant objectives.

I would like to make two things clear: first, that the increase in funding is not limited to IT or assessment purposes. Any request that meets the guidelines defined below and brings you closer to meeting your existing objectives will be considered for approval. Second, that in reviewing your request we will look at the amount of unexpended funds your grant is carrying over from one year to the next. If you are not expending your previously awarded funds at a reasonable rate, an increase may not be appropriate. Feel free to address this issue in the narrative portion of your request.

To request an increase of funding (up to \$50,000 for FY 2003) please submit with your IPR a separate justification and precise summary of how you will use the funds requested (a maximum of two pages). In this narrative, please explain how your proposed use of the funds will improve existing activities and how your request is related to the scope and objectives of your grant application. The proposed uses of the funds should not change the scope or objectives of your project. If the funds are used to augment an activity, there should be a clear and logical relationship between your request and the existing activity. The approval process will be similar to when you submit a change to your project that requires “prior approval,” as the program staff will evaluate your proposal within the context of your original application and all applicable laws and regulations.

In addition to the two-page narrative, please duplicate and separately submit a Budget Summary using the form from Part IV of this IPR that shows your entire



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FY 2003 budget with the increased funding (in the column labeled "Next Year's Actual Budget 10/01/2002-9/30/2003"). The summary should clearly demonstrate where the funds would be used. We suggest listing the augmented line item figure in **bold** print, followed by the amount the figure has increased as a result of the additional funding. For example, if you are proposing to increase your Equipment line item by \$35,000 and the original figure in your grant budget was \$85,000, your adjusted budget should read, "Equipment: **\$120,000** (+\$35,000)." While any reasonable format will be accepted, please ensure that the changes to your budget are exceptionally clear.

If your request is approved, the additional funds will be processed with your non-competitive continuation award and will be available for the next grant year beginning October 1, 2002 and ending September 30, 2003. If you have any questions, feel free to contact the Program Office at any time. To ensure that your questions are addressed promptly, please contact the Program Office at title.five@ed.gov.

I trust you will continue to develop effective programs at your institution that will enable you to improve your services to all students. Please let me know how we may continue to assist you.

Sincerely,

A handwritten signature in cursive script, appearing to read "Margarita Benítez".

Margarita Benítez
Director
Institutional Development and Undergraduate Education Service
Office of Higher Education Programs
U.S. Department of Education



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Instructions for the Interim Performance Report

Purpose

First year recipients of five-year discretionary Title V grants must submit an Interim Performance Report (IPR) to receive a non-competing continuation award for their second year of funding. The information obtained from the IPR should demonstrate that substantial progress has been made towards meeting the project objectives outlined in your Title V Grant Application. Additional information may be found in Sections 74.51, 75.118, 75.253 and 75.590 of the Education Department General Administrative Regulations (EDGAR).

General Instructions

- Completion of the IPR is required for recipients of five-year development grants and will be completed in addition to the Annual Performance Report, which will be distributed later in the year.
- The word limits refer to the maximum amount of text that will be evaluated—if you need less space to respond, by all means do not feel compelled to meet the maximum word limits. Feel free to use bullets, tables, or other styles to clearly communicate your responses.
- Information should be reported only for the first six-months of the current fiscal year—October 1, 2001 through March 31, 2002, except where projections are asked for.
- Narrative responses should be double-spaced with a 12- point font.
- The completed IPR must be postmarked no later than **May 16, 2002**. Please mail the original and one copy to:

**U.S. Department of Education
Higher Education Programs
HSI Program
ATTN: Interim Performance Report
1990 K St., NW, 6th Floor
Washington, D.C. 20006-8501**



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Part I: Cover Sheet

1. Performance Reporting Period

This is the first six months of the fiscal year. Information requested in Parts II, III & IV of the IPR should refer to this period.

2. PR/Award Number

You can find your PR/Award Number in block #5 of your Grant Award Notification. Note that the Title V prefix of the PR/Award Number is already provided, so please fill in the last eight (8) numbers of the PR/Award Number. Please mark the appropriate box indicating the type of grant award you received (either an Individual Development Grant or a Cooperative Development Grant).

3. Recipient Institution Information

This is the information for the entity that receives federal dollars, as stated in block #1 of the Grant Award Notification. The recipient is usually an Institution of Higher Education, but due to certain legal designations, other entities may be listed. For example, the recipient of the grant funds could be a Foundation, Board of Directors, or District Office.

4. Title V Financial Officer Contact

Please provide the contact information for the Financial Officer who works with the Title V program at your institution. If this information is unavailable or if you do not know the Financial Officer, please give a brief explanation in the space provided in question # 16 of Part III.

5. Descriptive Title of Project

This is the title of your unique project, not the Title V Program. It can be found on block #12 of your Application for Federal Assistance (form ED 424).

6. Contact Information for Project Director

Please update the contact information for the Project Director. If you need to inform the office of a change in your Project Director, please check (✓) the box and submit the resume of the current director if the appointment has not been approved by the program office. For "Project Title," fill in the director's title within the Title V project, not the institution's hierarchy.

7. Institution and President/CEO Information

For "institution," please enter the name of the University or College that is the subject of the grant award and the project activities. Please enter the contact information for the President or CEO of your institution.

8. Authorized Representatives



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The Project Director or Coordinator and a representative from your institution should both sign the Interim Performance Report. The institution representative should be someone with institution-wide authority, such as a dean, provost or President.

Part II: Executive Summary

In narrative form, please describe the progress of your project implementation during the reporting period. This is an opportunity for you to communicate successes and difficulties in implementing your project (consider each of your project objectives and activities), and to report substantial changes that have occurred during the reporting period. For both of the topics, you should comment upon any difficulties your project has encountered, a course of action to resolve these difficulties, and a timetable for resolution. Also use this opportunity to comment upon any anticipated changes to your project. Please limit your response to a maximum of one page. We recommend that you complete this summary last and keep in mind that this narrative should be in addition to your explanations provided in the questionnaire (Part III) and in the budget report (Part IV).

Part III: Title V Questionnaire

Please answer the questions by marking the appropriate box with a check (X). When applicable, additional space has been provided for you to provide explanations, or to inform the Program Office of any additional information.

Part IV: Interim Budget Report

The budget report is intended to provide a brief overview of your expenditures and expected obligations. Please report the amount of your award for fiscal year (FY) 2002 in the space provided and list expenditures in the appropriate category. The expenditures should refer to federal dollars only; non-federal funds that were spent during the reporting period should not be included in the table. The single budget report is a sum of all project activities, rather than an activity-by-activity breakdown. *Please round to the nearest dollar and do not report cents.* Be sure to review the budget portion carefully, as mathematical errors will result in substantial processing delays. Once the chart is complete, feel free to use the space provided to comment upon specific budget issues. If necessary, incorporate additional budget commentary into the narrative portion of the report (Part II).



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Interim Budget Report Definitions:

Actual Budget (10/01/2001-09/30/2002): The FY 2002 budget you outlined in your grant application for each of the budget categories. If the proposed budget from your application was reduced or altered by the Program Office, please use your adjusted (or revised) budget. The total costs (Row 10) should match the FY award amount from your most recent Grant Award Notification.

Expenditures (10/01/2001-03/31/2002): The amount of expenses incurred during the reporting period.

Projected expenditures (04/01/2002-09/30/2002): The projected amount that will be spent during the remainder of the fiscal year.

Carryover Balance (09/30/2002): The estimated funds that will not be spent by the end of the current fiscal year. In the budget narrative, please explain why you anticipate having carryover funds.

Next Year's Actual Budget (10/01/2002-9/30/2003): The budget you have planned for the next FY. The total costs (Row 10) should match the FY award amount from your most recent Grant Award Notification.

Personnel: The total amount spent on staff salaries, which are not part of "fringe benefits." Do not include consultants or other personnel who are not entitled to 'fringe benefits.' Include those costs under the "Other" category.

Fringe Benefits: Enter the percentage rate at which your institution calculates fringe benefits. Also enter the total amount used for fringe benefits, converted from your institution's percentage rate into a dollar amount.

Travel: Total amount spent on transportation and per diem expenses during travel that is necessary and related to achieving the objectives of your project. Do not include freight costs or consultants' travel expenses. Include these costs in the "Other" category.

Equipment: Total purchasing cost of all tangible personal property for both fixed and movable items. Include property having an acquisition cost of \$5,000 or more per unit. Do not include the cost for renting equipment. Include these costs in the "Other"

Supplies: Total purchasing cost of all tangible personal property having an acquisition value of less than \$5,000 per unit.

Contractual: The total cost of contractual agreements with another institution of higher education, organization or business. Do not include costs for consultants. Include these costs in the "Other" category.



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Construction: Total costs associated with approved construction projects (including renovation costs).

Other: Include all other direct costs not covered by budget categories #1-7, such as training stipends, communications, freight costs (not covered in vendor purchase price), equipment rental, computer use charges, summer employment stipends, consultant costs, etc.

Endowment Monies: Total sum of federal Title V dollars designated as endowment dollars.

Total Costs: Enter the sum of all costs (Rows 1-9) for the budget period.

Part V: Customer Service Questionnaire

Please answer the questions and provide feedback on how the Program Office can better serve grantees. Feel free to make any comments, criticisms or suggestions as this section of the IPR will be processed separately to ensure anonymity. When you have completed Part V, please seal the questionnaire in a separate envelope marked **Customer Service Questionnaire**, and mail it with the IPR. When the Program Office receives your IPR, the customer service questionnaire will be removed from the IPR. Please note that the responses will have no bearing on funding decisions.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1840-0765**. The time required to complete this information collection is estimated to average 6 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: **U.S. Department of Education, Washington, D.C. 20202-4651**. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: **U.S. Department of Education, Attn: Title V Program Office, 1990 K St. NW, Washington, D.C. 20006-8501**.



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Part I: Cover Sheet

1. Performance Reporting Period:

October 1, 2001—March 31, 2002

2. PR/Award No. (Block 5 on Grant Award Notification)

P031S

Type of Grant: ☐ Individual ☐ Cooperative

3. Recipient Institution Information

Name: _____

Address: _____

City: _____ State: _____

Zip+4: _____

E-Mail _____

5. Descriptive Title of Project**6. Contact Information for Project Director**

Name: _____

Project Title: _____

Address: _____

City _____ State _____ Zip _____

Tel. #: _____ Fax #: _____

E-mail Address: _____

☐ Check here if the Director has changed since the last Performance Report and send current resume if necessary.

7. Institution and President Information

Institution Name _____

President/CEO Name _____

Address _____

City _____ State _____ Zip _____

President's Tel.# _____

President's E-mail: _____

8. Authorized Representatives

To the best of my knowledge and belief, all data in this performance report are true and correct.

Project Director Name (Typed or Printed)

Institution Representative (Typed or Printed)

Signature

Signature

Date

Date



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Part II: Executive Summary

Following the guidelines from the instructions, please limit your narrative response to a maximum of two pages (which may be attached to this report).



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Part III: Title V Questionnaire

Grant Management:

Additional Instructions

1.) Has there been any change to the Key Personnel or Activity Staff originally outlined in your grant application? (Key Personnel = Project Director & Activity Coordinators)

Y ☐ N ☐

Check (X) the appropriate box for each question. Please indicate the names and titles of the new staff. If any positions remain unfilled, please briefly (50 words or less) identify major problems and when the positions are likely to be filled.

Name_____ Project Title_____

Name_____ Project Title_____

Name_____ Project Title_____

Name_____ Project Title_____

Name_____ Project Title_____

Name_____ Project Title_____

2.) Have you submitted the resumes for all Key Personnel to the Program Office, if the resumes were not in your Grant Application?

Y ☐ N ☐

If No, please send resumes with the Interim Report.



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3.) Have you or other representatives attended the most recent Title V Directors' meeting? Y ☐ N ☐ Please note date and location of meeting attended.

Name of Attendee: _____

Location of Meeting: _____ Date: _____

4.) Has the Financial Officer attended a Title V Directors' meeting? Y ☐ N ☐ Please note date and location of meeting attended.

Name of Attendee: _____

Location of Meeting: _____ Date: _____

5.) Have you made changes to your program management plan? These changes are the result of: (Check as many as apply) Y ☐ N ☐ Please briefly note the types of changes you made, including the feedback you received prior to the change.

☐ internal evaluation

☐ consultant's recommendation

☐ external evaluation

☐ project staff feedback

☐ budget demands

☐ Title V Program Office

☐ survey

☐ Title V performance reports

☐ staff turnover

☐ institutional requirements

☐ hiring difficulties

☐ other (please explain):



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6.) Are you meeting your activity(s) objectives as outlined in your Implementation Strategy and Timetable Form?

Y

☐

N

☐

In 600 words or less per major activity (you may use the space provided or attach separate pages), briefly summarize your progress and what steps you are taking to overcome major obstacles to reaching this year's objectives. If applicable, please explain why activities slated for this year will be moved to a following year. When providing quantifiable evidence, please briefly restate the baseline data and your objectives.



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7.) Have you made or do you plan to make adjustments to the scope or objectives of your project?

Y

☐

N

☐

In 300 words or less, briefly summarize the changes you have made, or will be making to the scope or objectives of your project. This should include changes approved by the Program Office during the Reporting Period. For more information on changing your grant scope and objectives please see the Title V Grantee Handbook.



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8.) Do you foresee any difficulties in implementing your evaluation plan to measure the success of your project?

Y

☐

N

☐

In 300 words or less, please describe the challenges that you face with your evaluation plan, and your plan to overcome these challenges. Also describe your progress towards implementing an evaluation plan, and note if an external evaluator will be used.



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Part IV: Interim Budget Report

Award Amount for Current Fiscal Year 2002: _____

PR/Award Number: P031S

Budget Categories	Actual Budget 10/01/2001 – 9/30/2002	Carryover from Previous FY	Expenditures 10/01/2001 – 3/31/2002	Projected Expenditures 4/01/2002 – 9/30/2002	Carryover Balance 9/30/2002	Next Year's Actual Budget 10/01/2002 – 9/30/2003
1.) Personnel						
2.) Fringe Benefits _____ %						
3.) Travel						
4.) Equipment						
5.) Supplies						
6.) Contractual						
7.) Construction						
8.) Other						
9.) Endowment Monies						
10.) Total Costs (Rows 1-9)						



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Part IV: Interim Budget Report (Continued)

In 400 words or less, please provide any additional information about your budget (one additional page may be attached). Suggested topics that you should address include: the reasons you are not expending funds at an expected rate; significant changes to your budget resulting from modifications of project activities; and any anticipated changes to your budget for the remainder of the FY.



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Part V: Customer Service Questionnaire

Please seal Part V of the IPR in a separate envelope and send it with your IPR to the Program Office. Please note that responses are anonymous and will have no bearing on funding decisions.

1.) How often have you visited the Title V Web Site (www.ed.gov/HSI) during the reporting period?

Please make any suggestions on improving the site content and format.

| Never | 1-5 times | | 6-10 times | 11-15 times | 15+ times |

☐ ☐ ☐ ☐ ☐

2.) Do you use the Title V Bulletin Board or List-serve as a way to maintain contact with other Program Directors?

Y N
☐ ☐

Information about the Bulletin Board & List-serve can be found in the Title V Grantee Handbook.

Check all that apply:

- ☐ to look for personnel for your Title V project
- ☐ to share ideas on Title V management
- ☐ to ask questions about Title V management and implementation
- ☐ to ask questions about evaluation plans or procedures
- ☐ to share information on other programs of interest
- ☐ to ask for regulation clarifications
- ☐ Other: _____

3.) How many times have you communicated (voice, e-mail, and mail) with the Title V Program Office?

| Never | 1-5 times | | 6-10 times | 11-15 times | 15+ times |

☐ ☐ ☐ ☐ ☐



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3a.) Which was the most effective way to contact the Program Office?

| E-mail | | Telephone | | US Mail | | Fax | | Other (please specify) |

☐ ☐ ☐ ☐ ☐

3b.) How satisfied were you with the knowledge of the Program Officers regarding your inquiry?

| Very Dissatisfied | | Dissatisfied | | Satisfied | | Very Satisfied | | No opinion |

☐ ☐ ☐ ☐ ☐

3c.) How satisfied were you with the responsiveness of the Program Office?

| Very Dissatisfied | | Dissatisfied | | Satisfied | | Very Satisfied | | No opinion |

☐ ☐ ☐ ☐ ☐

3d.) How satisfied were you with the courteousness of the Program Office?

| Very Dissatisfied | | Dissatisfied | | Satisfied | | Very Satisfied | | No opinion |

☐ ☐ ☐ ☐ ☐

4.) How satisfied were you with the overall customer service that the Title V Program Office has provided?

| Very Dissatisfied | | Dissatisfied | | Satisfied | | Very Satisfied | | No opinion |

☐ ☐ ☐ ☐ ☐

Please make any suggestions as to how the Program Office can improve any facet of its service. Feel free to add an additional page if necessary.

5.) How many times have you communicated (voice, e-mail, and mail) with your Department of Education Area Representative?

| Never | | 1-5 times | | 6-10 times | | 11-15 times | | 15+ times |

☐ ☐ ☐ ☐ ☐



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5a.) Which was the most effective way to contact your Area Representative?

| E-mail | | Telephone | | U.S. Mail | | Fax | | Other (please specify) |

☐ ☐ ☐ ☐ ☐

5b.) How satisfied were you with the knowledge of the Area Representative regarding your inquiry?

| Very Dissatisfied | | Dissatisfied | | Satisfied | | Very Satisfied | | No opinion |

☐ ☐ ☐ ☐ ☐

5c.) How satisfied were you with the responsiveness of the Area Representative?

| Very Dissatisfied | | Dissatisfied | | Satisfied | | Very Satisfied | | No opinion |

☐ ☐ ☐ ☐ ☐

5d.) How satisfied were you with the courteousness of the Area Representative?

| Very Dissatisfied | | Dissatisfied | | Satisfied | | Very Satisfied | | No opinion |

☐ ☐ ☐ ☐ ☐

6.) How satisfied are you with the overall customer service that the Area Representatives have provided?

| Very Dissatisfied | | Dissatisfied | | Satisfied | | Very Satisfied | | No opinion |

☐ ☐ ☐ ☐ ☐

Please make any suggestions as to how the Area Representatives can improve any facet of their service. Feel free to add an additional page if necessary.